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PTO/SB/08A (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	Not Yet Accorded
Filing Date	Not Yet Accorded
First Named Inventor	Andrew G. Norman
Art Unit	Not Yet Accorded
Examiner Name	Not Yet Accorded
Attorney Docket Number	NREL IR 01-09

Sheet 1 of 2

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1	US- 5,354,707	10/11/1994	Chapple-Sokol et al.	
	2	US- 5,585,640	12/17/1996	Huston et al.	
	3	US- 5,607,876	03/04/1997	Biegelsen et al.	
	4	US- 5,614,435	03/25/1997	Petroff et al.	
	5	US- 5,627,382	05/06/1997	Canham et al.	
	6	US- 5,690,807	11/25/1997	Clark, Jr. et al.	
	7	US- 5,747,180	05/05/1998	Miller et al.	
	8	US- 5,804,475	09/08/1998	Meyer et al.	
	9	US- 5,830,538	11/03/1998	Gates et al.	
	10	US- 5,852,346	12/22/1998	Komoda et al.	
	11	US- 6,049,090	04/11/2000	Clark, Jr.	
	12	US- 2002/0079485 A1	06/27/2002	Stintz et al.	
	13	US- 2002/0126536 A1	09/12/2002	Forbes et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number Kind <sup>4</sup> Code <sup>5</sup> (if known)				

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Substitute for form 1449/PTO  <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center;">(Use as many sheets as necessary)</p>				<b>Complete if Known</b>	
				Application Number	Not Yet Accorded
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				First Named Inventor	Andrew G. Norman
				Art Unit	Not Yet Accorded
				Examiner Name	Not Yet Accorded
				Attorney Docket Number	NREL IR 01-09
Sheet	2	of	2		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	1	Norman, A.G. et al., "Phase Separation and Facet Formation During the Growth of (GaAs) <sub>1-2</sub> (Ge <sub>2</sub> ) <sub>x</sub> Alloy Layers by Metal Organic Vapor Phase Epitaxy," Inst. Phys. Conf. Ser. No. 164, 171 (1999), pgs. 171-174.	
	2	Norman, A.G. et al., "Ge-related Faceting and Separation During the Growth of Metastable (GaAs) <sub>1-2</sub> (Ge <sub>2</sub> ) <sub>x</sub> Alloy Layers by Metal--Organic Vapor Phase Epitaxy," Appl. Phys. Lett. 74, 1382 (1999)	
	3	Zakharov, N.D. et al., "Structure and Optical Properties of Si/InAs/Si Layers Grown by Molecular Beam Epitaxy on Si Substrate," Appl. Phys. Lett. Vol. 76, No. 19, pgs. 2667-2679 (2000).	
	4	Heitz, R. et al., "Optical Properties of InAs Quantum Dots in a Si Matrix," Appl. Phys. Lett. 74, 1701 (1999), Physica E7, 317 (2000)	

Examiner Signature	Date Considered
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 † Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.  
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